

### APA Audit Report of Commonwealth IT Governance and VITA Operations a/o 4/7/06, Issued 5/06

APA Ref	Short Title	Summary	Due Date	Responsible Person(s)	Status	Status Date	Task / Comments
1	Address Conflict in Dual CIO Roles	Address conflicts in CIO's dual role: Ops & Gov. ITIB should consider increasing its direction & involvement in the functions of IT governance.	10/06	James McGuirk	U	Initial Plan 5/06	The ITIB & CIO are working to address the inherent conflicts caused by the CIO's dual role in IT governance & IT operations. The ITIB will consider increasing its direction & involvement in the functions of IT governance, allowing governance issues to be communicated by the CIO or the Board rather than VITA; thereby, separating this function from the VITA staff performing IT operations functions.
						7/06	Topic to be discussed at the July ITIB meeting.
						9/06	<b>The Chairman has taken steps to involve the ITIB in a lead role for VITA Governance activities with the Governor's Administration in the areas of enterprise systems, EA leadership &amp; administration, RTIP reporting, establishing a new customer advisory council &amp; accepting the Governor's app't to the Council on Virginia's Future.</b>

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4	Improve Agency Strategic Planning & IT Investment Decision Process	The ITIB, CIO, Sec. of Fin. & Tech., & the Council on Va's Future should direct VITA & DPB to improve the agency strategic planning & IT inv. decision process, to include addressing the need for long-term focus within strategic planning.	11/06	Jerry Simonoff	C	Initial Plan 5/06	This will be discussed at July & following ITIB meetings. We will also form a workgroup to address the issues of the agency strategic planning & IT investment process as well as the need for long-term focus.(3rd Qtr. 2006) The Workgroup will make recommendations to Governor in 11/06.
						7/06	ITIB Chair has discussed both with the Governor and the Council on Virginia's Future. The Secretary of Technology, via his role on COVF, is also facilitating linking the Council's future efficiency/effectiveness initiatives to the Commonwealth Enterprise Business Architecture.
						9/06	<b>ITIB &amp; COVF have established long-term strategic ties, including new COVF Innovative Solutions Committee chaired by Secretary of Technology; new PMO office focused on enterprise solutions, &amp; membership of ITIB chair on COVF.</b>

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5	Ensure Agencies Understand How Agency IT Strategic Planning Process Supports the COV Plan	VITA & DPB should provide agencies with direction on individual IT strategic plans. Incl. in the DPB handbook a section on the alignment & revise the instr. to improve the IT Summary Section & IT Strategic Plan Appendix.	7/06	Jerry Simonoff	C	Initial Plan 5/06	<p>1.) Conduct training workshop to provide agencies with direction on individual IT strategic plans. Workshop was completed 5/24/2006 at VITA.</p> <p>2.) PMD to prepare a letter for the CIO's signature to DPB that addresses collective issues and recommendations. Target Date: 6/06</p> <p>3.) Rewrite the IT Summary Section in the DPB Handbook to clarify instructions. Target Date: 7/06.</p>
						7/06	<p>Tasks 1 &amp; 2 are complete. VITA conducted an agency training workshop on June 24 to provide direction on completing agency IT strategic plans. The CIO letter to DPB, delivered in June, highlighted common issues between DPB &amp; VITA &amp; proposed a coordinated approach to resolving those issues. Actions to complete task 3 are underway and will be completed in July.</p>
						9/06	<p><b>Task 3 is complete. The IT Summary Section was rewritten in July &amp; submitted to DPB as an update for the Agency Strategic Planning Handbook. The publication date for the Handbook update has not been announced by DPB.</b></p>

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6	Change IT Project Submission Deadline	Consider changing the current deadline for receiving agency IT projects to better align with the agency's strategic planning cycle.	6/07	Jerry Simonoff	U	Initial Plan 5/06	1.) Synchronization of agency strategic planning cycle for RTIP 2007 (Include issue in letter from CIO to DPB (referenced in Item #5 above)) 2.) At the August ITIB meeting, present the following for resolution at the October Board meeting: <ul style="list-style-type: none"> <li>• Strategic planning schedule</li> <li>• Feasibility of moving the RTIP due date</li> </ul>
						7/06	Task 1 is partially complete. Issue has been coordinated with DPB.
						9/06	<b>Task number 2 is complete. The strategic planning schedule &amp; RTIP due date are on the agenda for the Oct. ITIB meeting.</b>
7	Include Life Cost of Projects	Revise the priority project report to include est. annual project costs over the project's life. Consider using DPB's 6 yr. Capital Outlay Plan as its reporting model.	9/07	Jerry Simonoff	C	Initial Plan 5/06	Change the RTIP reporting structure to reflect project expenditures for the life of the project, not just the upcoming budget biennium. RTIP 2006 will use existing data that has been collected. Target Date: 9/06 RTIP 2007 will use new data that will be collected in the next planning cycle. Target Date: 9/07
						7/06	RTIP 2006 is under development. A draft project priority list will be presented to the ITIB on July 20.
						9/06	<b>RTIP 2006, approved by the ITIB at their 8/06 meeting, was submitted to the Gov. &amp; General Assembly on 9/1/06. DPB budget decision package forms &amp; guidance have been updated to incorporate a 6 yr expenditure projection.</b>

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8	Simplify RTIP Project Listing	Consider simplifying RTIP to incl. one prioritized list of both active & new projects. Assess cost-benefit of providing add'l. lists & narratives not req. by Code.	1/07	Jerry Simonoff	U	Initial Plan 5/06	<p>1) Present streamlined RTIP Report outline to the ITIB for approval. Revised RTIP 2006 Report will include one prioritized list of both active and new projects. (Approved by the ITIB 4/06)</p> <p>2) The ITIB agreed to removing additional portfolio views &amp; providing this information on their Website for RTIP 2006. (Approved by the ITIB 4/06)</p> <p>3) A stakeholder survey will be conducted in October to determine the value of providing additional portfolio views, not required by Code, in future RTIP reports.</p> <p>7/06 Task 1 is complete. Task 2 is partially complete. Website development is underway.</p> <p><b>9/06 Additional portfolio views have been posted to the ITIB website for RTIP 2006. Proposed survey questions will be presented to the ITIB at the October meeting.</b></p>
9	RTIP Enhancement	The ITIB should communicate w/Gov. & GA to determine how the priority report can become a useful decision making tool. If it can't be done, recommend GA eliminate the requirement.	2/07	Jerry Simonoff	U	Initial Plan 5/06	<p>1) Survey RTIP Report stakeholders in October 2006 to determine the overall value of the RTIP reporting process and identify needed changes to make the report a more effective decision making tool.</p> <p>2) Deliver ITIB recommendations to the Gov. &amp; GA</p> <p>7/06 Task 1 – survey development planned for September, following completion of RTIP 2006.</p> <p><b>9/06 Proposed survey questions will be presented to the ITIB at the Oct. meeting.</b></p>

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10	Identify Alternative IT Project Funding	ITIB, CIO, Sec. of Fin. & Tech. should direct VITA & DPB to evaluate alternative funding mechanisms for IT projects, including consideration of the 2003 JLARC recommendations.	7/06	Jerry Simonoff	C	Initial Plan 5/06	ITIB to request the Secretary of Technology to organize a meeting of named principals to determine the COV's policy in using alternative funding mechanisms. PMD to present this request (in the form of a motion) to the ITIB at the July meeting.
						7/06	Motion to be offered to ITIB at July meeting.
						9/06	Motion was approved.

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11	Hire PMD Staff	Authorize & fill vacant full-time positions rather than hiring vendors.	1/07	Jerry Simonoff	U	Initial Plan 5/06	<p>1) Implement phase 1 reorganization of PMD to increase available staff direct project oversight and consulting hours. (Completed – 5/1/06)</p> <p>2) Fill PMD authorized vacancies. The phase 1 target is 13 FTE against a maximum authorization of 15 MEL, with 10 positions currently filled.</p> <p>3) Due to continuing difficulty in recruiting experienced project managers, initiate an “Open Until Filled” recruiting strategy. (Completed – 5/11/06)</p> <p>4) Implement phase 2 reorganization of PMD (13 FTE) to reduce administrative burden on staff providing direct customer services. Target Date: 1/07</p>
						7/06	<p>Task 1 is complete.</p> <p>Task 2 is partially complete, with 11 of 13 positions filled. Further hiring is now on hold, as volume of projects/procurements-the basis for hrly billings-are thus far below projections. PMD will continue to monitor and report on trends at the ITIB's Oct. meeting.</p>
						9/06	<p><b>There is no change in status for task 2. As directed, PMD will brief the ITIB Finance &amp; Audit Committee at the Oct. Meeting on ITIM service fee revenues and the impact on PMD staffing. Task 3, recruiting strategy, terminated due to lack of revenue. Task 4 on hold.</b></p>

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12	Fix Ops. & Gov. Roles Conflicts	CIO meet w/PMD & other Div. to ensure Ops. & Gov. roles are clear.	9/06	Lem Stewart	C	Initial Plan 5/06	As recommended, after the ITIB & CIO address these conflicts, the CIO will meet with PMD & other VITA divisions affected by the separation of ops. & governance to ensure they understand their purpose, responsibilities, & how the changes impact their work by 9/06.
						7/06	Educational meetings & discussions have been held with all retained staff relative to VITA's operations and governance roles as they pertain to the partnership commencement. Follow-up leadership meetings will be held pending guidance received from the ITIB after their discussions on governance and operations conflicts at the July Board meeting.
						9/06	Clarified at internal meetings as well as in the all Agency AITR 9/17 meeting.



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13	Improve PMD Effectiveness & Efficiency	PMD should examine their admin. tasks & make more efficient & also take an active role monitoring projects & independently verifying & assessing agency self-reported data.	1/07	Jerry Simonoff	U	Initial Plan 5/06	<p>Two Phase Approach: Phase 1 began on May 1 with reorg. of PMD. Activities included in this phase:</p> <ul style="list-style-type: none"> <li>Establishment of PMO focused exclusively on project consulting &amp; oversight.</li> <li>Assignment of PM Specialists within that office to oversee specific Secretariat projects, including on-site observation &amp; coordination with project staff, stakeholders and agency leadership.</li> <li>Continue monthly PMD Program Reviews initiated in Jan. 06, to ensure that PMD maintains an enterprise perspective (emphasizing enterprise &amp; collaboration opportunities) on projects under oversight.</li> <li>Implementation of a formal project oversight training &amp; mentoring program for newly hired or assigned staff.</li> <li>Training current staff on oversight methodologies dev. in item 14 below.</li> <li>Establishment of IT Investment Management Office focused on early identification of agency IT investment needs.</li> </ul> <p>Target Completion of Phase 1 is 11/06. Phase 2 includes the establishment of a Management Support Office within PMD that will relieve PM Specialists &amp; Consultants of admin. responsibilities relating to reports, ITIB Support, publications &amp; the Project Manager Development Program (PMDP). Target date for completion of this phase is 1/07.</p>
						7/06	<p>PMO &amp; IT Investment Offices established. Mthly PMD reviews continue. PM specialist assignment to oversee specific Secretariat projects, including on-site observation &amp; coordination with project staff, stakeholders &amp; agency leadership has started. Lower than projected project/procurement volumes--the basis for hrly billings--have put on hold plans to bring on staff to expand contact hours beyond those currently on-board. Continued funding constraints may affect planned Phase 2 corrective actions. PMD will research underlying causes of reduced major project submissions &amp; continue to track trend data for 1Q FY 07, as the bases for recommending appropriate changes to corrective actions at the Oct ITIB meeting.</p>
						9/06	Continued funding constraints will impact planned Phase 2 corrective actions.

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14	Improve PMD Oversight Policies and Procedures	Revise PMD policies & procedures to require that project files include all agency project documents, review notes, & agency communications.	2/07	Jerry Simonoff	C	Initial Plan 5/06	<p>1) Established formal training for newly hired personnel. Completed 5/9/06</p> <p>2) Publish methodology for PMD oversight, evaluation, &amp; review of project documents. Modify existing file structure &amp; establish requirements &amp; procedures for documenting oversight activities &amp; retaining those documents. Target date: 9/06</p> <p>3) Replace existing ad hoc oversight tools with the ProSight portfolio tool. Target Date: 2/07</p>
						7/06	<p>Task 1 is complete.</p> <p>Task 2 is partially complete. Work continues on Oversight methodology.</p> <p>Task 3 -The Prosight Project remains on course.</p>
						9/06	<p><b>Task 2 is complete. The PMD oversight methodology has been completed &amp; published in an internal procedure.</b></p> <p><b>Task 3 is complete. Due to a 2 month delay in ProSight implementation, PMD will utilize the existing MAC1 system as the system of record for project and procurement documentation until the ProSight portfolio tool comes online.</b></p>

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15	Establish Written Criteria for CIO Project Recommendations	PMD should establish written criteria & procedures for recommending that the CIO modify, suspend or terminate a project.	11/06	Jerry Simonoff	U	Initial Plan 5/06	Develop a new PMD procedure that addresses, decision criteria, staff review requirements & decision paper formats & processing. Target date: 11/06
						7/06	Preliminary research is underway.
						9/06	<b>Draft criteria, score card, process diagram, &amp; template for recommending that the CIO modify, suspend or terminate a project were developed &amp; are under review.</b>
16	Implement Security Operating Plan	Security Services should detail, document, & approve an operating plan to direct daily & long-term business decisions & consider the overall goal & deadlines as well as how transition to NG will affect Security Services' role.	10/06	Peggy Ward	U	Initial Plan 5/06	Will develop an operating plan by 10/06.
						7/06	Hired Deputy CISO to start 7/31. Began initial discussions with staff.
						9/06	<b>Had a Security off-site to identify priorities and build a roadmap in August. Translating results into an operating plan.</b>
17	Develop Timeline for Security Standards	Security Services should develop a timeline for the finalization & distribution of all outstanding stds & incl. in the operating plan the dev. of new policies & updating existing policies.	10/06	Peggy Ward	U	Initial Plan 5/06	Will finalize the draft security policy & 2 stds by 7/06 & include a plan for id. of new policies & existing policies by 10/06.
						7/06	Provided Draft Security Policy and two stds. to ITIB for approval. Began analysis of remaining areas.
						9/06	<b>Analysis of remaining areas continues &amp; results will be integrated into the operating plan.</b>

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18	Adopt Uniform Infrastructure Procedure	Service Mgmt. Org. should adopt uniform procedures that apply to all aspects of VITA's infrastructure.	6/08	Fred Duball	U	Initial Plan 5/06	A complete plan for establishing consistent, ITIL conformant procedures manual by 8/06. Existing processes will be compiled into a centralized repository by 10/06. Starting in 3/07, as services are transformed, ITIL conformant processes are deployed with all procedures ITIL conformant by 6/08.
						7/06	The project started on July 1.
						9/06	<b>Executing to plan, on track to meet milestones. Workshops have been scheduled to develop procedures.</b>
19	Provide COOP Info. to NG & Develop Plan to Complete COOP	Continue effort to document as much COOP info. as possible & provide to NG, while also beginning to prepare a detailed written plan to complete a COOP in accordance with existing VITA standards.	1/07	Peggy Ward	U	Initial Plan 5/06	Will provide NG as much COOP as possible & begin preparing an integrated VITA COOP by 1/07 in accordance with the Standard.
						7/06	Defined initial emergency communication coordination with NG, briefed on SunGard contract & made customer DR plans available. Initiated discussions with staff for plan.
						9/06	<b>Met with VDEM to revise COV BIA. Formed VITA COOP team with NG members included.</b>

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20	Develop Plan to Complete Incident Mgmt. Prgrm Incl. Comm. Security Risks	Develop plan for completing Phase II of the incident mgmt. prgrm & incl. policies & procedures to communicate security risks to the agencies.	12/06	Peggy Ward	U	Initial Plan 5/06	Will develop a detailed operating plan that will include completing Phase II of the incident mgmt. program in coordination with VITA SMO & NG. The plan will also include documenting policies & procedures for communicating security risks to the agencies.
						7/06	Recruiting for incident management staff.
						9/06	<b>Still recruiting. NG implemented the interim Incident Management solution.</b>
21	Revise & Require SOW Template to Document Specific Deliverables	Revise the statement of work template requiring that managers include specific deliverables, deadlines, milestones, & indicating who must sign-off as approving deliverables.	8/06	Jim Roberts	C	Initial Plan 5/06	Draft Statement of Work by 7/06. Review & adopt as standard Statement of Work template for new agreements by 8/06. New contracts based on Statement of Work template will require use of template format.
						7/06	Draft Statement of Work Complete. Draft currently is circulated with SCM and VITA contract users. Draft includes requirement for specific deliverables, deadlines, milestones, etc. and signature approvals required for approval and acceptance. Advanced IT Resource Contracts will be amended to new requirements and new Statement of Work with signature approvals by 8/06.
						9/06	<b>Complete and template in use.</b>

## Federal Tax Information Safeguards (Tax) & Network Perimeter (NP) Reports, Issued 8/06

IAS Ref	Short Title	Summary	Due Date	Responsible Person(s)	Status	Status Date	Task / Comments
Tax Update the 1 1999 TAX/DIT Federal Tax Tape Safeguards MOA	Resolve issues impeding final approval of the MOA. Obtain MOA signatures from TAX and VITA representatives.	11/06	Debbie Secor	U	Initial Plan 9/06	Get final cost figures and revised cover letter. Secure final MOA approval & signatures from VITA and TAX.	
Tax Require & 2 Retain Signed Disclosure Statements	Document and implement procedure to keep signed statements on file for persons authorized to handle Federal tax info including employees and contractors.	12/06	Jim Roberts	U	Initial Plan 9/06	Document & implement the procedure for keeping signed statements (DIT Employee Code of Ethics/Confidentiality & Unauthorized Disclosure of Tax Information) on file for all personnel who are authorized to handle Federal tax information, including both employees & contractors.	
NP Enable 1 Router and Firewall Logging	VITA should comply with SEC501-01 and SEC2001-01.1 by enabling logging on network perimeter routers and firewalls throughout the VITA enterprise.	12/06	Fred Duball	U	Initial Plan 9/06	1.) Engage Northrop Grumman Continuing Operations and initiate implementation.  2.) Monitor completion status thru weekly operations meetings.	

### Federal Tax Information Safeguards (Tax) & Network Perimeter (NP) Reports, Issued 8/06

IAS Ref	Short Title	Summary	Due Date	Responsible Person(s)	Status	Status Date	Task / Comments
NP 2	Install IDS on Network Perimeters	SEC501-01 includes requirements for intrusion detection. SEC2001-01.1 requires that there be a process to identify and evaluate threats.  One of four VITA network segments reviewed (DGIF) did not utilize intrusion detection.	2/07	Fred Duball	U	Initial Plan 9/06	Begin gap analysis process and utilize for agency recommendations.
NP 3	Provide a Consistent Tool for Monitoring Internet Use	VITA does not have a single or consistent tool for monitoring employee Internet use.	2/07	Fred Duball	U	Initial Plan 9/06	Begin gap analysis process and utilize for transformation prioritization.
NP 4	Revise VITA Central Policies to Include All of VITA	VITA policies related to network monitoring are inconsistent and do not address the VITA enterprise as a whole.	5/07	Peggy Ward	U	Initial Plan 9/06	Revise network perimeter policies and procedures to be consistent across the VITA enterprise.